



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Project Title: PPG Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda

Country: Antigua and Barbuda

Initiation Plan Start Date: 1 July 2016

Initiation Plan End Date: 30 June 2017

M-CPAP Programme Component: Environment, Energy, Climate Change and Disaster Risk Reduction

ATLAS Project Award: 00097076

ATLAS Project ID: 00100928

PIMS Project ID: 5425

Management Arrangement: NIM

Total budget: **US\$70,000.00**

Allocated resources:

- GEF (cash) US\$50,000.00
- Government (in-kind) US\$20,000.00

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

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Date: day/month/year

25/07/2016

A. Brief Description of Initiation Plan:

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with the view to further develop the approved project concept into a fully formulated project document. The project's objective is to strengthen institutional capacity for effectively managing information systems for national multilateral environmental agreements (MEA) obligations and monitoring impact and progress. This will enhance Antigua and Barbuda's capacity to implement MEAs and mainstream into national and sub-national policy, planning financial and legal frameworks. The final output of the initiation plan will be a [UNDP-GEF project document](#) and [GEF CEO endorsement template](#) ready for submission to UNDP and GEF.

B. Project preparation activities:

A. Component A: Technical review

- I. Baseline studies: During this component there will be a review of national projects, strategies and policies to identify those that are in line with the objectives of this project. The purpose will be to identify agencies responsible for generating and using information. This activity will also seek to develop a list of existing environmental indicators.
- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening: [5425 CCCD Antigua and Barbuda SESP RTA Pre-screening 29March2016.docx](#)
- III. Integration with development plans, policies, budgets and complementary projects: This project will align with existing strategies and policies such as the national Medium-Term Development Strategy (2016-2020) prepared by the Ministry of Finance and the Environmental Protection and Management Act (EPMA, 2015). The former defines a Monitoring and Evaluation (M&E) Indicator Framework with a number of environmental indicators. The project will contribute the baseline data and time-bound targets that are missing for many of these environmental indicators. Information management standards will also be developed for the relevant sections of the EPMA
- IV. Completion of GEF focal area tracking tool: CCCD projects do complete Capacity Development Scorecards.
One way to ensure mitigation of risks is to regularly apply the Capacity Development Scorecard (GEF Tracking Tool), which ensures that the project stakeholders learn how to consolidate capacity building in the institutional framework for environmental governance. This Scorecard was elaborated specifically for the development of cross-cutting capacities (CCC) projects, inspired by recent capacity building work by GEF, its implementing agencies and external research. Together with other tools and methods set out in the Guidelines for the Capacity Development in GEF projects which will be incorporated into the project and its overall M&E plan.
- V. Completion of Social and Environmental Screening template and verification against UNDP's project document Quality Assessment requirements.
- VI. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

B. Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART **Error! Bookmark not defined.** indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- II. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- III. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- IV. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board members, their responsibilities and inclusion of their Terms of Reference.
- V. Stakeholder consultations: Involve key agencies in the development of the project strategy to ensure strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements, including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- III. Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- IV. Stakeholder consultations during Component C: Involve key partners in the development of the detailed multi-year budget to ensure synergies with on going projects and programmes in order to maximize delivery of outputs.

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document. Document this consultation.

C Project preparation activities work plan, timeframe, responsibilities and budget: Project preparation activities work plan, timeframe, responsibilities and budget:

PPG Activity	Timeframe (in months) ¹												Responsibility	GEF Budget US\$ (estimated)	
	July 16	Aug 16	Sept 16	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17	Apr 17	May 17	Jun 17			
Recruitment of Consultant(s)														Department of Environment	\$800
Component A: Technical review														Department of Environment	\$20,000
Component B: Institutional arrangements, monitoring and evaluation														Department of Environment	\$12,000
Component C: Financial planning and co-financing investments														Department of Environment	\$9,200
Component D: Consultation and Validation workshops														Department of Environment	\$8,000
Submission to RTA for internal review														Department of Environment	
Submission to GEF Sec/Review														UNDP	
Operational and Financial Closure														UNDP	

D. Total Budget and Work Plan:

Award ID:	00097076
Award Title:	Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda
Business Unit:	BRB10
Project Title:	PPG Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda
Project ID:	00100928
PIMS #:	5425
Implementing Partner (Executing Agency)	Department of Environment

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget notes:
Project document preparation	Department of Environment	62000	GEF TRUSTEE	71200	International consultants	27,000	~33 days at approx. USD600-700/day plus mission expenses
				71300	Local consultants	12,000	To support baseline studies
				71600	Travel	1,000	Local travel
				72500	Supplies	600	Office supplies
				74500	Miscellaneous expenses	1,400.00	Miscellaneous cost, e.g. advertising for consultant
				75700	Training, workshops and conferences	8,000	Consultation and validation workshops, including participation from Barbuda
PROJECT TOTAL					50,000.00		

Annex 1: GEF CEO PIF approval letter

[5425 CCCD Antigua Barbuda PIF 31 Mar 2016.docx](#)



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

June 02, 2016

Ms. Adriana Dinu
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	9467
Agency(ies):	UNDP
Agency ID:	5425 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Medium Size Project
Country(ies):	Antigua And Barbuda
Name of Project:	Monitoring and Assessment of MEA Implementation and Environmental Trends in Antigua and Barbuda
Indicative GEF Project Grant:	\$880,000
Indicative Agency Fee:	\$83,600
PPG Grant:	\$50,000
PPG Agency Fee:	\$4,750
Funding Source:	GEF Trust Fund

PIF and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. Please submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,

Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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GEF/UNDP Medium Sized Project (MSP)

Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda

Terms of Reference

International Consultant – GEF Project Development Specialist

Type of Contract:	Individual Contract
Languages Required:	English
Duration:	approx. 33 days over 7 months from 15 th August 2016 – 1 March 2017
Location:	Remote posting with 1 – 2 missions
Application Deadline:	31 July 2016

1. BACKGROUND

The Department of Environment in the Ministry of Health and the Environment, Antigua and Barbuda is developing a full project document for a Medium Sized Project (MSP), *Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda*, to be implemented through the National Implementation Modality (NIM) of the United Nations Development Programme (UNDP).

In accordance with UNDP/GEF procedures for the NIM, the Department of Environment (DoE) is providing personnel to develop the MSP proposal for the project, *Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda*, for submission to the GEF Secretariat fully compliant with the enforced GEF rules and standards as part of the GEF Project Preparation Grant (PPG). The Project Design Specialist will report to the Director of the Department of Environment, and work closely with the UNDP Programme Manager in Barbados and UNDP-GEF Senior Technical Advisor in UNDP Istanbul Regional Hub.

The purpose of the PPG is to fully design the activities, outputs, and outcomes of the project, *Monitoring and assessment of MEA implementation and environmental trends in Antigua and Barbuda* medium size project and to fully develop a full set of project documentation for submission to the GEF Secretariat and approval. Normal rules for development of medium-sized GEF projects apply. Copies of the GEF templates and guidelines can be found at: http://www.thegef.org/gef/guidelines_templates

Project Description

The Department of Environment is striving to improve data collection and information for environmental management in Antigua and Barbuda. Local environmental management and decision-making in Antigua and Barbuda is suffering from poor data collection, management, and analysis. The last comprehensive national environmental profile for Antigua and Barbuda was completed in 1991, and unreliable data is often used to make important decisions. In addition, the 15+ multilateral environmental agreements (MEAs) to which the country is signatory require thorough monitoring, evaluation and reporting. In the absence of a coordination national environmental information system, the reporting requirements are burdening the country's limited capacity in the civil service.

Table 1. List of Multilateral Environment Instruments and Environment Conventions to which Antigua and Barbuda is signatory

No.	Instrument & Title	Place & Date of Signature	Ratification
1	Basel Convention on the Transboundary Movement of Hazardous Wastes and its Disposal and its protocols.	March 22 nd 1989	April 5 th 1993 Accession
2	United Nations Framework Convention on Climate Change and its protocols.	March 21 st 1994	February 2 nd 1993
3	Kyoto Protocol to the UN Framework Convention on Climate Change	December 11 th 1997	October 28 th 1998
4	UN Convention to Combat Desertification In Those Countries Experiencing Serious Droughts and/or Desertification Particularly Africa and its protocols.	October 14 th 1994	June 6 th 1997 Ratification
5	UN Convention on Biological Diversity and its protocols.	June 5 th 1992	March 9 th 1993
6	Cartagena Protocol on Biosafety to the Convention on Biological Diversity	January 29 th 2000	May 24 th 2000
7	Protocol Concerning Pollution From Land Based Sources And Activities in the Wider Caribbean Region (Protocol to the Cartagena Convention)	October 6 th 1999	
8	Protocol Concerning Specially Protected Areas and Wildlife (SPAW Protocol to the Cartagena Convention)	January 18 th 1990	January 18 th 1990
9	Convention on International Trade in Endangered Species (CITES) and its protocols.		October 6 th 1997
10	Vienna Convention for Protection of the Ozone Layer and its protocols.	December 3 rd 1992	December 3 rd 1992
11	Montreal Protocol on Substances that Deplete the Ozone Layer and its protocols.	September 16 th	March 12 th

No.	Instrument & Title	Place & Date of Signature	Ratification
		1987	1992
12	Amendment to the Montreal Protocol on Substances That Deplete the Ozone Layer	29 th June 1990	February 23 rd 1993
14	Amendment to the Montreal Protocol On Substances That Deplete the Ozone Layer	December 25 th 1992	July 19 th 1993
15	Amendment to the Montreal Protocol on Substances That Deplete the Ozone Layer adopted by the 9 th meeting of the Parties	September 17 th 1997	February 10 th 2000
16	The Stockholm Convention on Persistent Organic Pollutants		February 2004

Therefore, a central pillar to the Environmental Protection and Management Act, approved by Parliament in April 2015, was accurate, reliable, and up-to-date environmental data. To facilitate this, the Act established a GIS-based information repository, the Environmental Information Management Advisory System (EIMAS), to be maintained by the Department of Environment with provisions for public, private, and NGO access. The Department is also taking steps towards supporting a National Spatial Data Infrastructure in Antigua and Barbuda, for the efficient management of all spatial data – within which the EIMAS would be responsible for environmental data.

Antigua and Barbuda completed its National Capacity Self-Assessment (NCSA)² and its Cross-cutting Assessment Report³, which identified the constraints and needs.

Capacity constraints:

- Limited public awareness of the conventions and the decision process;
- Low salaries, cannot attract professionals with the training and experience to participate in the international process, project management and national government process;
- General lack of funding;
- Intuitional barriers to Integration, “turfism” is a key impediment;
- No formal training available locally for the participation in the international negotiation processes;
- Not enough funds for adequate size delegation to COPs (the ideal is five delegates for each COP);
- Not enough funds available for the coordination at the regional level.

Capacity needs:

- Establish an annual three weeks training program for participation within the international process with specific references to each of the Rio conventions within the Antigua and Barbuda’s State College;

² <https://www.thegef.org/gef/sites/thegef.org/files/documents/document/ncsa-antigua%20barbuda-fr-ap.pdf>

³ <https://www.thegef.org/gef/sites/thegef.org/files/documents/document/419.pdf>

- Enshrine the National Coordinating Mechanism within the legislation of the Department of Environment;
- Provide internet access to all agencies that are part of the NCM process;
- Develop a targeted Communication Campaign aided by professional communication training;
- Institutionalized Training Seminar for Permanent Secretaries and other senior officials in Government;
- Increase salary allocated to posts that are involved with the Implementation of Conventions;
- Assign full time staff to assist with Inter-Agency coordination and collaboration.

Significant legislative hurdles were overcome through the passage of the Environmental Protection and Management Act of 2015. This project will focus on operationalization and implementation of the information-related sections of the Act.

Without this project, there will continue to be limited availability of data on core environmental indicators in the country, making it difficult to track progress with MEA implementation in Antigua and Barbuda. Absence of a coordinated environmental information system may also result in a less cost-effective approach with a number of stand-alone project-specific systems being developed separately. The additional cost reasoning of this project is that Component 1 will support an integrated GIS-based environmental information system for Antigua and Barbuda, to provide a coherent approach to management and presentation of environmental information relating to the country's environmental priorities, involving partnership between a range of government agencies, research institutions, as well as civil society.

Project Component 2 will support activities to promote awareness and use of environmental information by different sectors. Linking the system with a stronger user base is critical to maintaining government support for the system and its sustainability in the long term. The activities to demonstrate MEA reporting and information uptake in the environmental and social safeguard assessment process will develop this user base. Key outputs under this component are to develop a sustainable financing strategy for the environmental information system, and to deliver the State of the Environment report, which is critical for establishing a baseline across the conventions on desertification, biodiversity and climate change.

2. DESCRIPTION OF RESPONSIBILITIES

The principal responsibility of the International Consultant (IC) is to develop the MSP project document fully compliant with the UNDP-GEF and UNDP Quality Assurance rules and standards as lead expert on capacity development and project design, closely collaborating with the Department of Environment in Antigua and Barbuda, and UNDP on setting PPG implementation strategy

Within the framework of this ToR, the Consultant's scope of activities includes:

- Iteratively develop the project logframe based on feedback from the consultation process and in consultation with relevant stakeholders
- Complete background studies, ensuring they are appropriate in scope and overall quality, providing required analyses
- Facilitate and guide consultations to determine project strategy, priorities, key partners, and overcome key barriers to success

- Participate in calls/meetings and remote presentations as requested, with national decision-makers to identify priorities and approaches

Specific detailed activities include:

- Complete the Technical Review
 - Review baseline information and conduct additional baseline studies as necessary
 - Align the project logframe and activities with existing strategies and policies
 - Complete a UNDP Capacity Development Scorecard
 - Complete Environmental and Social Screening Procedure
 - Mobilize and engage stakeholders during project design
- Institutional arrangements, monitoring and evaluation
 - Refine the results framework with SMART indicators
 - Develop a detailed M&E work plan and an appropriate budget
 - Develop a sustainability plan outlining the principles and guidelines for ensuring the long-term sustainability of project achievements
 - Develop a training programme that will address capacity gaps during implementation
 - Define management arrangements
 - Prepare Terms of Reference for key project staff, project management committee and key consultants
- Financial planning and co-financing investments
 - Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document
 - Support multilateral and bilateral co-financing opportunities
 - Ensure completion of required official endorsement letters

Expected Deliverables:

The key products to be delivered, working closely with the Local Consultant, are as follows:

1. A detailed PPG work plan and design of consultation and validation workshops (within 1 week of start of the assignment)
2. First draft of the Project Document and GEF Request for CEO Endorsement/Approval (1st November 2016)
3. Final Project Document and GEF Request for CEO Endorsement/Approval fully compliant with the UNDP-GEF and UNDP Quality Assurance rules and standards (detailed technical review) (14th December 2016)

Timeline

The principal responsibility for managing the Consultant will lie with the Director of the Department of Environment in Antigua and Barbuda, along with the Programme Manager at the UNDP Barbados and the OECS sub-regional office, and the UNDP-GEF Senior Technical Advisor.

The timeframe and duration of activities are proposed as follows:

Activity	Duration (estimated) / days	Estimated Timing and deadline
PPG work plan	1	1 st week of assignment
Development of Project Results Framework	4	1 st September 2016
Development of Monitoring & Evaluation Framework	1	1 st September 2016
Environmental and Social Safeguards Assessment	2	1 st September 2016
Sustainability Plan	2	1 st October 2016
Detailed Multi-Year Budget	3	1 st October 2016
Preparation of GEF Tracking Tool	3	1 st October 2016
Draft Project Document	6	1 st November 2016
Validation workshop report	1	15 th November 2016
Final Project Document	6	14 th December 2016
Preparation of Request for CEO Approval	1	14 th December 2016
Revisions of Documents following GEF comments	3	1 st March 2017
TOTAL working days (estimated)	~33 days	

Prior to approval of the Request for CEO Endorsement, a draft version of the UNDP Project Document, fully compliant with the enforced GEF rules and standards, shall be submitted for comments to UNDP by 1st March 2017. UNDP and the stakeholders will submit comments and suggestions within 10 working days after receiving the draft. The finalized documents shall be submitted by 1st April 2017 with the aim of getting the project documents all approved by the GEF Secretariat by June 2017, hence by the end of the assignment.

If any discrepancies have emerged between impressions and findings of the International Consultant and the aforementioned parties, these should be explained in an annex attached to the final report.

3. COMPETENCIES

Technical work

- Familiarity with GEF policies, templates and requirements for MSP.
- Strong expertise in data and information management, especially GIS, tracking indicators, and efficient reporting systems.
- Familiarity with the International Conventions addressing Climate Change, Desertification and Biodiversity Conservation.
- Experience in drafting similar project proposals.

Partnerships

- Maturity and confidence in dealing with senior members of national institutions.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Excellent written communication skills, with analytic capacity and ability to synthesize relevant collected data and findings for the preparation of quality analysis for the project proposal.
- Excellent coordination skills and result-oriented collaboration with colleagues.

Results

- Promotes the vision, mission, and strategic goals of the Department of Environment.
- Builds strong relationships with clients, focuses on impact and result for the client and responds positively to feedback.
- Good team player that has ability to maintain good relationships.

4. QUALIFICATIONS

Education

- Proven expert knowledge in the GEF CCCD/CB2 Project Cycle
- Advanced university degree in environmental management, business administration, project management or other relevant field.

Experience

- At least 7 years of relevant professional experience
- Proven experience in developing/implementing similar projects, preferably in the Caribbean region
- Previous successful experience in development and approval of GEF project documents (at least 3 examples)
- Previous experience with the UN/UNDP/UNEP is an advantage

Languages

- Excellent English writing and communication skills are essential.

5. EVALUATION OF APPLICANTS

- Only those applications which are responsive and compliant will be evaluated;
- Individual consultants will be evaluated based on Combined Scoring method taking into consideration the combination of the applicants' qualifications and financial proposal;
- Combined weighted scoring: Technical (70%); Financial (30%).

Information on Working Arrangements:

- Estimated level of effort, including travel days: 33 days;
- The consultant will work remotely with limited mission travel;
- The Consultant will be given access to relevant information necessary for execution of the tasks under this assignment;
- The Consultant will be responsible for providing her/his own working station (i.e. laptop, internet, phone, scanner/printer, etc.) and must have access to a reliable internet connection;

- Irrespective of his/her location, the consultant will be expected to be available for skype/phone meetings and be in reliable email contact, when required, during the regular business hours of the Antigua and Barbuda;
- Payments: the consultant shall receive payment in four installments as follows:
 - 25% upon preparation and acceptance of the assignment work plan, PPG work plan, design of consultation and validation workshops;
 - 25% upon completion of consultation and validation workshops (following the 2nd mission);
 - 20% upon preparation and acceptance of the draft UNDP Project Document, Project Results Framework, GEF Request for CEO Endorsement/Approval;
 - 30% upon clearance by UNDP-GEF Senior Technical Advisor of the project documentation fully compliant with the enforced GEF rules and standards and its submission to GEF Secretariat which includes assistance with response to any GEF Sec comments.